Administrative & National Policy Requirements Document

The Administrative & National Policy Requirements Document must be completed in full and included as part of the proposal submission. Other than the instructions in blue font, do not delete any portion of this document.

All pages must be formatted for printing on 8-1/2 by 11-inch paper with 1-inch margins and sans-serif font size not smaller than 11 point. Sans-serif font sizes of 8- or 10 point may be used for figures, tables, and charts. There is no page limit for this document.

The Administrative & National Policy Requirements Document must be in .pdf, .odx, .doc, or .docx formats. Submissions must be written in English.

<PRIME ORGANIZATION LOGO (optional)>

Administrative & National Policy Requirements

|  |  |
| --- | --- |
| Proposal T**itle** |  |
| Proposer Organization |  |
| Technical Point of Contact (TPOC) | Name:Address:Telephone:Email: |
| Administrative POC (APOC) | Name:Address:Telephone:Email: |
| Date of Proposal Submission |  |
| Proposal Validity Period (minimum 120 days) |  |

1. Team Member Identification

List the organizations/institutions that will comprise your team. Add rows, as needed. Organization/Institution roles include prime awardees, sub-awardees, team members, contractors, and vendors that will be supplying components, information, data, or material that is critical to your proposal.

|  |  |  |
| --- | --- | --- |
| **Organization /Institution Name** | **Status** | **Organization/Institution Role** |
|  | [ ]  U.S. [ ]  non-U.S. |  |
|  | [ ]  U.S. [ ]  non-U.S. |  |
|  | [ ]  U.S. [ ]  non-U.S. |  |
|  | [ ]  U.S. [ ]  non-U.S. |  |
|  | [ ]  U.S. [ ]  non-U.S. |  |
|  | [ ]  U.S. [ ]  non-U.S. |  |
|  | [ ]  U.S. [ ]  non-U.S. |  |
|  | [ ]  U.S. [ ]  non-U.S. |  |

**SENIOR/KEY PERSONNEL (i.e., Covered Personnel)**

In accordance with the National Security Presidential Memorandum (NSPM)-33 and the associated White House Office of Science and Technology Policy Implementation Guidance,senior/key personnel[[1]](#footnote-2) are required to disclose potential conflicts of interest (COIs) and conflicts of commitment (COCs). Those disclosures are captured by senior/key personnel completing the Biographical Common Form and the Current and Pending (other) Support Common Form as attachments to this template. These forms can be found at: <https://www.nsf.gov/bfa/dias/policy/nstc_disclosure.jsp>.

Complete the following table for each Senior/Key Person. Add rows, as needed.

|  |  |  |
| --- | --- | --- |
| **Senior/Key Personnel Names** | **Organization / Institution** | **Confirmation Common Forms Are Attached** |
|  |  | **Biographical Sketch Attached**: [ ]  Yes [ ]  No **Current & Pending Support Attached**: [ ]  Yes [ ]  No |
|  |  | **Biographical Sketch Attached**: [ ]  Yes [ ]  No **Current & Pending Support Attached**: [ ]  Yes [ ]  No |

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| --- | --- | --- |
| **Senior/Key Personnel Names** | **Organization / Institution** | **Confirmation Common Forms Are Attached** |
|  |  | **Biographical Sketch Attached**: [ ]  Yes [ ]  No **Current & Pending Support Attached**: [ ]  Yes [ ]  No |
|  |  | **Biographical Sketch Attached**: [ ]  Yes [ ]  No **Current & Pending Support Attached**: [ ]  Yes [ ]  No |

1. Federally Funded Research and Development Center (FFRDC) Participation

Is any member of your proposed team an FFRDC?

[ ]  No [ ]  Yes

If yes, provide justification for inclusion of the FFRDC and separate documentation that indicates that no other source will meet the needs that the FFRDC will meet.

1. Organizational Conflict of Interest (OCI) Affirmations and Disclosure

In accordance with the ISO, provide the following information.

1. Are any of the proposed individual team members or their respective organizations (whether prime, sub-awardee, or consultant) currently providing support in the form of an Internal Support Contractor (ISC)/Systems Engineering Technical Assistance (SETA) agreement, Partnership Intermediary Agreement (PIA), or similar support to ARPA-H?

[ ]  No [ ]  Yes

1. Did any of the proposed individual team members or their respective organizations (whether prime or sub-awardee or consultant) provide ISC/SETA support or similar support to ARPA-H within one calendar year of this proposal submission?

[ ]  No [ ]  Yes

If the answer to 3.a. or 3.b. is yes, provide a separate document with the following information for each such team member:

* The name of the ARPA-H office receiving the support;
* The prime contract number;
* Identification of proposed team member (e.g., prime, sub-awardee, consultant) providing the support; and
* An OCI mitigation plan.
1. Are there any potential Organizational Conflicts of Interest involving any of the proposed individual team members *or* their respective organizations (whether prime, sub-awardee, or consultant)?

[ ]  No [ ]  Yes

If yes, for each team member for which an OCI or a potential OCI exists, provide a separate document with the following information:

* Identification of applicable team member; and
* An OCI mitigation plan.
1. Research Security Disclosure

ARPA-H’s research security program (RSP) involves research security reviews (RSRs) to determine whether Proposers are covered individuals or have behaviors that: (a) may be contrary to federal policy; (b) undermine the integrity of ARPA-H-funded research; or (c) bring risk to the agency’s research programs. The RSP aims to mitigate the risk of unwanted knowledge and technology transfers to foreign countries of concern (FCOCs)[[2]](#footnote-3)

In addition to the senior/key personnel disclosures, answer the following:

1. Have all PIs and senior/key personnel certified (in writing or by digital signature) that they are (or are not) party to a malign foreign talent recruitment program (MFTRP)?

[ ]  No [ ]  Yes

1. Are any members of the proposal team participating in, or have previously participated in, any MFTRPs?

[ ]  No [ ]  Yes

If yes, please list the name(s) of the team members and the foreign government(s). In accordance with 42 USC §19232, individuals are prohibited from being a party in a malign foreign-talent recruitment program.

1. Are any of the proposed team institutions owned wholly or in part by foreign individuals, entities, or governments?

[ ]  No [ ]  Yes

If yes, provide the name(s) of the foreign-owned institution(s), and the name(s) of the owner individual(s), entity/entities, or government(s), and identify the percentage(s) owned.

1. Is any of the proposed research projected to be executed within a foreign country of concern?

[ ]  No [ ]  Yes

If yes, please identify each country, each institution, and a narrative discussing each institution’s criticality to your proposal.

1. Do any of the proposing institutions (e.g., prime, sub-awardee, or consultant) intend to rely on technology, information, data sets, or equipment (e.g., supply chain) that will be provided by a foreign country of concern?

[ ]  No [ ]  Yes

If yes, identify each country and each institution, and provide a narrative discussing each institution’s criticality to your proposal.

***By submitting this document to ARPA-H, you are certifying that the information provided in this section is current, accurate, and complete. This includes (but is not limited to) information related to current-, pending-, and other support (both foreign and domestic) as defined in 42 U.S.C. §6605.***

***By submitting this document to ARPA-H, you are also certifying that at the time of submission, no members of the proposed team are a party in a malign foreign talent recruitment program.***

***By submitting this document to ARPA-H, you acknowledge that misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§287, 1001, 1031 and 31 U.S.C. §§3729-3733 and 3802.***

1. Novelty of Proposed Work

Has the proposed work been submitted to any other government solicitation?

[ ]  No [ ]  Yes

If yes, provide the following information (and change the font color to black):

* Solicitation number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
* Agency/Office \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
* Has the proposed work already received funding or a positive funding decision?

[ ]  No [ ]  Yes [ ]  Decision pending

1. Intellectual Property (IP)

Provide the following information. The government will assume unlimited rights to all IP that is not explicitly identified within the proposal as being restricted.

1. Technical Data and Computer Software

Are you asserting any IP restrictions on any technical data or computer software that will be delivered to the government?

[ ]  No [ ]  Yes

If yes, list all anticipated proprietary claims to results, prototypes, deliverables, or systems supporting and/or necessary for the use of the proposed research, results, prototypes and/or deliverables. Use the following table formats for these lists. Add rows as needed.

NOTE: For each claim asserted with less than unlimited rights, provide a separate document with a short summary that describes the nature of the restriction and the intended use of the intellectual property in the conduct of the proposed research.

|  |
| --- |
| **NON-COMMERCIAL** |
| **Technical Data and/or Computer Software To be Delivered with Restrictions** | **Summary of Intended Use in the Conduct of the Research** | **Basis for Assertion** | **Asserted Rights Category** | **Name of Person Asserting Restrictions** |
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| **COMMERCIAL** |
| **Technical Data and/or Computer Software To be Delivered with Restrictions** | **Summary of Intended Use in the Conduct of the Research** | **Basis for Assertion** | **Asserted Rights Category** | **Name of Person Asserting Restrictions** |
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1. Patents

Does the proposed effort involve using patented inventions that are owned by or assigned to the proposing organization or individual?

[ ]  No [ ]  Yes

If yes, provide separate documentation proving ownership or possession of appropriate licensing rights to all patented inventions to be used for the proposed project.

If a patent application has been filed for an invention, but it includes proprietary information and is not publicly available, provide separate documentation that includes:

* The patent number
* The inventor name(s)
* The assignee names (if any)
* The filing date
* The filing date of any related provisional application and
* A summary of the patent title, with either:

(1) a representation of invention ownership; or

(2) proof of possession of appropriate licensing rights in the invention (i.e., an agreement from the owner of the patent-granting license to the proposer).

1. Ability to meet programmatic goals with IP/Patent implications

Describe how IP assertions and/or patent implications impact the ARPA-H programmatic goals.

1. Software Component Standards

Does your solution include software components that are proprietary, or that do not include commercial-friendly-open-source licenses?

[ ]  No [ ]  Yes

If yes, provide a separate technical plan in accordance with Section 6.1 of the ISO.

1. Human Subjects Research (HSR)

Does the proposed work involve Human Subjects Research?

[ ]  No [ ]  Yes

If yes, provide separate documentation showing evidence of, or a plan for, review by an Institutional Review Board (IRB) and include evidence of a Federalwide Assurance for the Protection of Human Subjects. Complete the following table to identify each organization, team member, and sub-awardee performing HSR. Add rows as needed.

|  |  |  |
| --- | --- | --- |
| **Organization Performing HSR**  | **Federalwide Assurance Number**  | **Approved IRB Protocol (Y/N)**  |
|  |  |  |
|  |  |  |
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1. Animal Subjects Research (ASR)

Does the proposed work involve Animal Subjects Research?

[ ]  No [ ]  Yes

If yes, provide

* separate documentation that gives a brief description of the plan for Institutional Animal Care and Use Committee (IACUC) review and approval
* the Vertebrate Animal Section (VAS) worksheet, found at:

(<https://olaw.nih.gov/sites/default/files/VASchecklist.pdf>)

* evidence of each applicable organization’s Animal Welfare Assurance

Complete the following table to identify each organization, team member, and sub-awardee performing ASR. Add rows as needed.

|  |  |  |  |
| --- | --- | --- | --- |
| **Organization Performing ASR**  | **Approved IACUC Protocol (Y/N)**  | **Completed VAS (Y/N)** | **Animal Welfare Assurance Number**  |
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1. **Representations Regarding Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law**

The Proposer represents that –

1. It is [ ]  is not [ ]

a corporation that has any unpaid federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

1. It is [ ]  is not [ ]

a corporation that was convicted of a felony criminal violation under a federal law within the preceding 24 months.

1. Cybersecurity
2. Does your organization implement a cybersecurity program leveraging industry and/or government standards to secure and defend your systems, networks, and/or data?

[ ]  No [ ]  Yes

If yes, provide a brief description of the program, including the specific standard(s) that guide the program, the abilities of the organization to respond to a cybersecurity incident, and how the organization assesses the security posture of its systems and/or networks.

1. Does your organization have experience with managing and securing Controlled Unclassified Information (CUI)?

[ ]  No [ ]  Yes

Describe how the proposing institution and subawardee/subcontractor organizations manage CUI, including details of access control for research designated as CUI, information systems security protocols, storage, communicating unclassified fundamental research with foreign nationals, and risk mitigation strategies for unclassified research that may ultimately become CUI as the research proceeds.

# **Biosecurity**

1. Does the proposal involve dangerous gain-of-function research, per the definition in Section 8 of Executive Order (E.O.) 14292 on *Improving the Safety and Security of Biological Research*[[3]](#footnote-4)?

[ ]  No [ ]  Yes

1. Does the proposed research involve procuring synthetic nucleic acids (prime or subcontract)?

[ ]  No [ ]  Yes

HHS awardees must adhere to current federal regulations, guidance, and/or policies on biosafety and biosecurity. Representative policy may include, but is not limited to, framework(s) and guidance arising from E.O. 14292. The proposing institutions will be required to monitor emerging policies and to update their biosafety and biosecurity protocols to adhere to emerging federal regulations, guidance, and/or policies.

1. In addition to the Principal Investigator or Program/Project Director, Senior/Key Personnel includes individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, regardless of whether they receive salaries or compensation under the award. These include individuals whose absence from the project would significantly impact the approved scope of the project; in other words, were the individual to leave the program, the change would be so substantial that ARPA-H would need to be notified. [↑](#footnote-ref-2)
2. Public Law 117-167, The CHIPS and Science Act, Section 10612, Aug 9. 2022; the People’s Republic of China, the Russian Federation, the Islamic Republic of Iran, the Democratic People’s Republic of North Korea, and any other country so designated by the Department of State. [↑](#footnote-ref-3)
3. <https://www.whitehouse.gov/presidential-actions/2025/05/improving-the-safety-and-security-of-biological-research/> [↑](#footnote-ref-4)